



PATENT  
Attorney Docket No. BSC-010C2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Crowley CONFIRMATION NO.: 4630  
SERIAL NO.: 10/022,965 GROUP NO.: 3737  
FILING DATE: December 13, 2001 EXAMINER: Not Yet Assigned  
TITLE: Miniature Spectrometer

Commissioner for Patents  
Washington, D.C. 20231

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JAN 22 2003  
TECHNOLOGY CENTER R3700

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the listed publications are enclosed.

REMARKS

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

- ☒ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or

- ☐ (3) after the mailing date of a **final action** or **notice of allowance** but before the payment of the **issue fee**, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

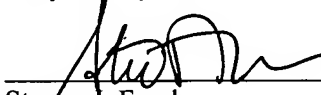
It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

### STATEMENT

As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that [check the appropriate space only if either (2) or (3) is checked on the previous page and the Statement is required]:

- ☐ 1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

Respectfully submitted,



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Date: January 13, 2003  
Reg. No. 33,497

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FORM PTO - 1449

SUPPLEMENTAL INFORMATION  
DISCLOSURE STATEMENT

ATTORNEY DOCKET NO.: BSC-010C2

APPLICANT(S): Crowley

SERIAL NO.: 10/022,965

FILING DATE: December 13, 2001 GROUP: 3737

## U.S. PATENT DOCUMENTS

EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE

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## FOREIGN PATENT DOCUMENTS

EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)

## OTHER ART, JOURNAL ARTICLES, ETC.

EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)								
	C14	International Search Report for PCT/US97/20367 dated March 23, 1998.							
	C15	International Search Report for PCT/US97/20324 dated March 11, 1998.							
	C16	International Search Report for PCT/US97/20435 dated May 19, 1998.							
	C17	International Search Report for PCT/US98/20019 dated January 20, 1999.							
	C18	International Search Report for PCT/US98/20018 dated January 21, 1999.							
	C19	International Search Report for PCT/US98/21100 dated February 8, 1999.							

EXAMINER

DATE CONSIDERED

2546749



3737


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Attorney Docket No. BSC-010C2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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SERIAL NO.: 10/022,965 GROUP NO.: 3737  
FILING DATE: December 13, 2001 EXAMINER: Not Yet Assigned  
TITLE: Miniature Spectrometer

**CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8**

I hereby certify that this correspondence, and any document(s) referred to as enclosed herein, is/are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to Commissioner for Patents, Washington, DC 20231 on this 13<sup>th</sup> day of January, 2003.

  
Diane Racicot

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Submitted herewith are:

1. Transmittal Form (1 pg.);
2. Supplemental Information Disclosure Statement (2 pgs.);
3. Form PTO-1449 (1 pgs.);
4. Cited References C14-C19;
5. and a return receipt postcard.

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# TRANSMITTAL FORM

Application Serial Number	10/022,965
Filing Date	December 13, 2001
First Named Inventor	Crowley
Group Art Unit	3737
Examiner Name	Not Yet Assigned
Attorney Docket No.	BSC-010C2

## ENCLOSURES (check all that apply)

- |  |   |  |
|--|---|--|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Check Attached<br><input type="checkbox"/> Copy of Fee Transmittal Form<br><br><input type="checkbox"/> Amendment/Response<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><br><input type="checkbox"/> Transmittal of Formal Drawing including Drawings [Total Sheets]<br><br><input type="checkbox"/> Extension of Time Request<br><input checked="" type="checkbox"/> Supplemental Information Disclosure Statement (2 pgs.)<br><input checked="" type="checkbox"/> Form PTO-1449 (1 pg.)<br><input checked="" type="checkbox"/> Copies of IDS Citations (C14-C19)<br><br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><br><input type="checkbox"/> Response to Missing Parts/Incomplete Application | <input type="checkbox"/> Copy of Notice to File Missing Parts of Application (PTO-1553)<br><br><input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition<br><br><input type="checkbox"/> To Convert to a Provisional Application<br><br><input type="checkbox"/> Power of Attorney (Revocation of Prior Powers)<br><br><input type="checkbox"/> Terminal Disclaimer<br><br><input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application<br><br><input type="checkbox"/> Small Entity Statement<br><br><input type="checkbox"/> Request for Refund<br><br><input type="checkbox"/> After Allowance Communication to Group | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><br><input type="checkbox"/> Appeal Communication to Group ( <i>Appeal Notice, Brief, Reply Brief</i> )<br><br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Return Receipt Postcard<br><br><input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8<br><br><input type="checkbox"/> Additional Enclosure(s) ( <i>please identify below</i> ) |
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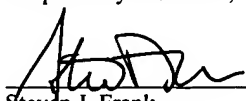
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## SIGNATURE BLOCK

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Respectfully submitted,

  
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